



**UNITED STATES DEPARTMENT OF COMMERCE**  
**Patent and Trademark Office**  
ASSISTANT SECRETARY AND COMMISSIONER  
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Washington, D.C. 20231

10002

DATE: 04/19/94  
TO:

N05A

DANIEL C. MALLERY  
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN  
12400 WILSHIRE BLVD.  
SEVENTH FLOOR  
LOS ANGELES, CA 90025

RECEIVED  
MAY 16 1994

MAY 16 1994

**BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN  
LOS ANGELES**

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

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THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS  
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PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT ASSIGNMENT PROCESSING SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT BRANCH, NORTH TOWER BUILDING, SUITE 10C35, WASHINGTON, D.C. 20231

ASSIGNOR: NARAYANAN, SEKHARIPURAM R. DOC DATE: 12/17/93

ASSIGNOR: VAMOS, EUGENE DOC DATE: 12/27/93

ASSIGNOR: SURAMPUDI, SUBBARAO                          DOC DATE: 12/27/93

ASSIGNOR: REC'D DATE: 03/15/2011

HALFERT, GERALD  
ASSIGNOR:

FRANK, HARVEY

NUMBER OF PAGES 666 REEL/FRAME 6921/0845

DIGEST : ASSIGNMENT OF ASSIGNEE'S INTEREST

ASSIGNEE:

CALIFORNIA INSTITUTE OF TECHNOLOGY  
1201 EAST CALIFORNIA BOULEVARD  
PASADENA, CA 91125

6921/0845 PAGE 0002

SERIAL NUMBER 8-135007      FILING DATE 10/12/93  
PATENT NUMBER                  ISSUE DATE 00/00/00

*P. Foster*

EXAMINER/PARALEGAL  
ASSIGNMENT BRANCH  
ASSIGNMENT/CERTIFICATION SERVICES DIVISION

FORM PTO-1595  
1-31-92

## RECORDATION FORM COVER SHEET

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

## PATENTS ONLY

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

## Name of conveying party(ies):

Sekharipuram R. Narayanan, Eugene Vamos, Subbarao

Surampudi, Gerald Halpert and Harvey Frank

Additional name(s) of conveying party(ies) attached? Yes  No 

## 3. Nature of conveyance:

Assignment       Merger  
 Security Agreement       Change of Name  
 Other \_\_\_\_\_

Execution Date: December 17, 1993, December 27, 1993, December 27, 1993, December 17, 1993 and December 17, 1993, respectively.

## 2. Name and address of receiving party(ies):

Name: California Institute of Technology

Internal Address: \_\_\_\_\_

Street Address: 1201 East California Boulevard

City: Pasadena, State: California ZIP: 91125

Additional name(s) &amp; address(es) attached?

Yes  No 

## 4. Application number(s) or patent number(s):

If this document is being filed together with a new application the execution date of the application is: N/A

## A. Patent Application No.(s)

08/135,007

## B. Patent No.(s)

Additional numbers attached? Yes  No 

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: \_\_\_\_\_

Internal Address: BLAKELY, SOKOLOFF, TAYLOR &amp; ZAFMAN

6. Total number of applications and patents involved: one

Street Address: 12400 Wilshire Boulevard

7. Total fee (37 CFR 3.41)\$40.00 \_\_\_\_\_

Seventh Floor

 Enclosed

City: Los Angeles State: CA ZIP: 90025

 Authorized to charged to deposit account

## 8. Deposit account number:

02-2666

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REF ID: A1121  
REF ID: B1121  
REF ID: C1121  
REF ID: D1121

## 9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Daniel C. Mallery Reg. No. 33,532

Name of Person Signing, Reg. No.

12467/42390.P014

Signature

Date

Total number of pages including cover sheet attachments and documents Four(4)

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail No.

RB98458829775 addressed to: Commissioner of Patents and Trademarks, Washington, DC 20231, on January 10, 1994.

January 10, 1994

Margaret M. Hasson Reg. No. 01761754 Mallery D

Date

40.00 CR

**CALIFORNIA ALL-PURPOSE ACKNOWLEDGMENT**

No. 5193

State of CALIFORNIACounty of LOS ANGELESOn Dec. 27, 1993 before me,

Elizabeth A. Snider

NAME, TITLE OF OFFICER - E.G., "JANE DOE, NOTARY PUBLIC"

DATE

personally appeared Sekharipuram R. Narayanan & Eugene Vamos

NAME(S) OF SIGNER(S)

personally known to me - OR -  proved to me on the basis of satisfactory evidence  
 to be the person(s) whose name(s) ~~is~~ are  
 subscribed to the within instrument and ac-  
 knowledged to me that ~~he/she~~ they executed  
 the same in ~~his/her~~ their authorized  
 capacity(ies), and that by ~~his/her~~ their  
 signature(s) on the instrument the person(s),  
 or the entity upon behalf of which the  
 person(s) acted, executed the instrument.

WITNESS my hand and official seal.

SIGNATURE OF NOTARY

**OPTIONAL SECTION**THIS CERTIFICATE MUST BE ATTACHED TO  
THE DOCUMENT DESCRIBED AT RIGHT:Though the data requested here is not required by law,  
it could prevent fraudulent reattachment of this form.TITLE OR TYPE OF DOCUMENT Assignment - Case C-19046 et alNUMBER OF PAGES 2 DATE OF DOCUMENT Dec. 27, 1993SIGNER(S) OTHER THAN NAMED ABOVE S. Surampudi, H.A. Frank & G. Halper**OPTIONAL SECTION****CAPACITY CLAIMED BY SIGNER**

Though statute does not require the Notary to  
 fill in the data below, doing so may prove  
 invaluable to persons relying on the document.

INDIVIDUAL  
 CORPORATE OFFICER(S)

TITLE(S)

PARTNER(S)  LIMITED  
 GENERAL  
 ATTORNEY-IN-FACT  
 TRUSTEE(S)  
 GUARDIAN/CONSERVATOR  
 OTHER: \_\_\_\_\_

**SIGNER IS REPRESENTING:**

NAME OF PERSON(S) OR ENTITY(IES)

Covenant with said Assignee, its successors, assigns and legal representatives that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by the undersigned, and that full right to convey the same as herein expressed is possessed by the undersigned.

IN WITNESS WHEREOF I have set my hand this 17<sup>th</sup> day of Dec, 1993.



Subbarao Surampudi

STATE OF CALIFORNIA

)  
)  
)

COUNTY OF LOS ANGELES

On this 17<sup>th</sup> day of Dec, 1993, before me, a Notary Public, personally appeared Subbarao Surampudi, who I am satisfied is the person named in and who executed the foregoing instrument in my presence and did acknowledge the same to be a voluntary act and deed for the uses and purposes therein expressed.

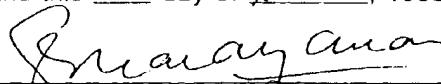


OFFICIAL SEAL  
ELIZABETH A. SNIDER  
NOTARY PUBLIC - CALIFORNIA  
LOS ANGELES COUNTY  
My com. expires MAR 4, 1994



Elizabeth A. Snider  
Notary Public

IN WITNESS WHEREOF I have set my hand this 27<sup>th</sup> day of Dec, 1993.



Sekharipuram R. Narayanan

STATE OF California

)  
)  
)

COUNTY OF Los Angeles

On this 27<sup>th</sup> day of Dec, 1993, before me, a Notary Public, personally appeared Sekharipuram R. Narayanan, who I am satisfied is the person named in and who executed the foregoing instrument in my presence and did acknowledge the same to be a voluntary act and deed for the uses and purposes therein expressed.



OFFICIAL SEAL  
ELIZABETH A. SNIDER  
NOTARY PUBLIC - CALIFORNIA  
LOS ANGELES COUNTY  
My com. expires MAR 4, 1994



Elizabeth A. Snider  
Notary Public

IN WITNESS WHEREOF I have set my hand this 27<sup>th</sup> day of Dec, 1993.



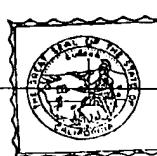
Eugene Vamos

STATE OF CALIFORNIA

)  
)  
)

COUNTY OF LOS ANGELES

On this 27<sup>th</sup> day of Dec, 1993, before me, a Notary Public, personally appeared Eugene Vamos, who I am satisfied is the person named in and who executed the foregoing instrument in my presence and did acknowledge the same to be a voluntary act and deed for the uses and purposes therein expressed.



OFFICIAL SEAL  
ELIZABETH A. SNIDER  
NOTARY PUBLIC - CALIFORNIA  
LOS ANGELES COUNTY  
My com. expires MAR 4, 1994



Elizabeth A. Snider  
Notary Public

REEL b 921 FRAME 848

No. 5193

REF# 9133621

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**CALIFORNIA ALL-PURPOSE ACKNOWLEDGMENT**

State of CALIFORNIA  
 County of LOS ANGELES

On Dec. 17, 1993 before me, Elizabeth A. Snider,  
 DATE NAME, TITLE OF OFFICER - E.G., "JANE DOE, NOTARY PUBLIC"

personally appeared Subbarao Surampudi, Harvey A. Frank & Gerald Halpert,  
 NAME(S) OF SIGNER(S)

personally known to me - OR -  proved to me on the basis of satisfactory evidence  
 to be the person(s) whose name(s) is/are  
 subscribed to the within instrument and ac-  
 knowledged to me that ~~he/she~~/they executed  
 the same in ~~his/her~~/their authorized  
 capacity(ies), and that by ~~his/her~~/their  
 signature(s) on the instrument the person(s),  
 or the entity upon behalf of which the  
 person(s) acted, executed the instrument.

WITNESS my hand and official seal.

SIGNATURE OF NOTARY

**OPTIONAL SECTION**

TITLE OR TYPE OF DOCUMENT Assignment - Case C-19046 et al.

NUMBER OF PAGES 2 DATE OF DOCUMENT December 17, 1993

SIGNER(S) OTHER THAN NAMED ABOVE S.R. Narayanan & E. Vamos

THIS CERTIFICATE MUST BE ATTACHED TO  
 THE DOCUMENT DESCRIBED AT RIGHT:

Though the data requested here is not required by law,  
 it could prevent fraudulent reattachment of this form.

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**OPTIONAL SECTION****CAPACITY CLAIMED BY SIGNER**

Though statute does not require the Notary to  
 fill in the data below, doing so may prove  
 invaluable to persons relying on the document.

INDIVIDUAL  
 CORPORATE OFFICER(S)

PARTNER(S)  LIMITED  
 GENERAL  
 ATTORNEY-IN-FACT  
 TRUSTEE(S)  
 GUARDIAN/CONSERVATOR  
 OTHER: \_\_\_\_\_

**SIGNER IS REPRESENTING:**

NAME OF PERSON(S) OR ENTITY(IES)

IN WITNESS WHEREOF I have set my hand this 17<sup>th</sup> day of Dec, 1993.

*Harvey A. Frank*

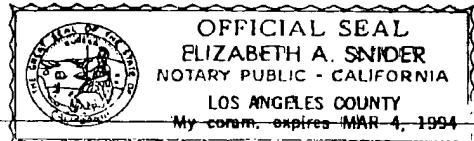
Harvey A. Frank

STATE OF CALIFORNIA

)  
)  
)

COUNTY OF LOS ANGELES

On this 17<sup>th</sup> day of Dec, 1993, before me, a Notary Public, personally appeared Harvey A. Frank, who I am satisfied is the person named in and who executed the foregoing instrument in my presence and did acknowledge the same to be a voluntary act and deed for the uses and purposes therein expressed.



*Elizabeth A. Snider*

Notary Public

IN WITNESS WHEREOF I have set my hand this 17<sup>th</sup> day of Dec, 1993.

*Gerald Halpert*

Gerald Halpert

STATE OF CALIFORNIA

)  
)  
)

COUNTY OF LOS ANGELES

On this 17<sup>th</sup> day of Dec, 1993, before me, a Notary Public, personally appeared Gerald Halpert, who I am satisfied is the person named in and who executed the foregoing instrument in my presence and did acknowledge the same to be a voluntary act and deed for the uses and purposes therein expressed.



*Elizabeth A. Snider*

Notary Public

REEL 921 FRAME 850

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PATENT & TRADEMARK OFFICE

JAH 10 94

PATENT  
ATTORNEY DOCKET NO:06816/004001

COMBINED DECLARATION AND POWER OF ATTORNEY

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am an original, first and joint inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled ORGANIC FUEL-CELL METHODS AND APPARATUS, the specification of which

is attached hereto.

X was filed on June 7, 1995 as Application Serial No. 08/478,801

and was amended on \_\_\_\_\_.

was described and claimed in PCT International Application No. \_\_\_\_\_

filed on \_\_\_\_\_ and as amended under PCT Article 19 on \_\_\_\_\_.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose all information I know to be material to patentability in accordance with Title 37, Code of Federal Regulations, §1.56(a).

I hereby appoint the following attorneys and/or agents to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith: Scott C. Harris, Reg. No. 32,030, William E. Booth, Reg. No. 28,933; Karl Bozicevic, Reg. No. 28,807; Barry E. Bretschneider, Reg. No. 28,055; Paul T. Clark, Reg. No. 30,162; Peter J. Devlin, Reg. No. 31,753; Willis M. Ertman, Reg. No. 18,658; David L. Feigenbaum, Reg. No. 30,378; Janis K. Fraser, Reg. No., 34,819; John W. Freeman, Reg. No. 29,066; Timothy A. French, Reg. No. 30,175; Alan H. Gordon, Reg. No. 26,168; Scott C. Harris, Reg. No. 32,030; Mark J. Hebert, Reg. No., 31,766; Gilbert H. Hennessey, Reg. No. 25,759; Charles Hieken, Reg. No. 18,411; Robert E. Hillman, Reg. No. 22,837; G. Roger Lee, Reg. No. 28,963; Steven E. Lipman, Reg. No. 30,011; Gregory A. Madera, Reg. No. 28,878; Ralph A. Mittelberger, Reg. No. 33,195; Ronald E. Myrick, Reg. No. 26,315; Robert C. Nabinger, Reg. No., 33,431; Frank P. Porcelli, Reg. No. 27,374; Eric L. Prahl, Reg. No. 32,590; Alan D. Rosenthal, Reg. No. 27,833; Richard M. Sharkansky, Reg. No. 25,800; John M. Skenyon, Reg. No. 27,468; Michael O. Sutton, Reg. No. 26,675; Rene D. Tegtmeyer, Reg. No. 33,567; Hans R. Troesch, Reg. No. 36,950; John N. Williams, Reg. No. 18,948; Gary A. Walpert, Reg. No. 26,098; Dorothy P. Whelan, Reg. No., 33,814; and Charles C. Winchester, Reg. No. 21,040.

Address all telephone calls to Scott C. Harris at telephone number 202/783-5070.

Address all correspondence to Scott C. Harris, Fish & Richardson P.C., 601 13th Street NW, Washington, D.C. 20005.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patents issued thereon.

## COMBINED DECLARATION AND POWER OF ATTORNEY CONTINUED

Full Name of Inventor: SUBRAO SURAMPUDI

Inventor's Signature: S. S.

Date: 9/28/95

Residence Address: Claudia, CALIFORNIA

Citizen of: INDIA

Post Office Address: 1710 E. Ladera Avenue, Clarendon, California 91760

Full Name of Inventor: SATHYANARAYANA R. NARAYANAN

Inventor's Signature: S. Narayanan

Date: 09/29/95

Residence Address: Altadena, CALIFORNIA

Citizen of: INDIA

Post Office Address: 212 E. Woolsey Street, Altadena, California 91001

Full Name of Inventor: ERNEST VAMOS

Inventor's Signature:

Date:

Residence Address: La Canada, CALIFORNIA

Citizen of: USA

Post Office Address: 4929 E. Altmier Avenue, La Canada, California 91011

Full Name of Inventor: HARRY A. FRANK

Inventor's Signature: Harvey A Frank

Date: 9/28/95

Residence Address: Engle, CALIFORNIA

Citizen of: USA

Post Office Address: 5328 New Castle Avenue, No. 33, Engle, California 91316

**COMBINED DECLARATION AND POWER OF ATTORNEY CONTINUED**

Full Name of Inventor: George HALPERT

Leveror's Signature

Date: 9-28-95

Codes of USA

Post Office Address: 1000 E. California Boulevard, No. 304, Pasadena, California 91106

Fall Name of Investor: George A. OLAH

Levander's Signature

Data

Residence Address: Brody Hill CALIFORNIA

Citizen of USA

Post Office Address: 192 Glendale Way, Beverly Hills, California 90210

**Full Name of Investor:** G. K. SURESH PRAKASH

Leveller's Signature:

Date

Residence Address: Holiday Heights, CALIFORNIA

Citizen of: INDIA

Post Office Address: 1945 Deer Park Drive, Hacienda Heights, California 91745

**Full Name of Inventor:**

Investor's Signature

三

Ronaldca    Address:

**Citizens of:**

**Post Office Address:**

## COMBINED DECLARATION AND POWER OF ATTORNEY CONTINUED

Full Name of Inventor: Gerald HALPERT

Inventor's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Residence Address: Pasadena, CALIFORNIA

Citizen of: USA

Post Office Address: 1000 E. California Boulevard, No. 304, Pasadena, California 91106

Full Name of Inventor: George A. JOLAH

Inventor's Signature: George Jolah Date: 9/7/95

Residence Address: Beverly Hills, CALIFORNIA

Citizen of: USA

Post Office Address: 252 Gloaming Way, Beverly Hills, California 90210

Full Name of Inventor: G. K. Surva PRAKASH

Inventor's Signature: G. K. Surva Date: 4/10/95

Residence Address: Hacienda Heights, CALIFORNIA

Citizen of: INDIA

Post Office Address: 1946 Deepeak Drive, Hacienda Heights, California 91742

Full Name of Inventor: \_\_\_\_\_

Inventor's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Residence Address: \_\_\_\_\_

Citizen of: \_\_\_\_\_

Post Office Address: \_\_\_\_\_

45551.W11

CIT 2209-1

PATENT

ATTORNEY DOCKET NO: 06816/005002

## COMBINED DECLARATION AND POWER OF ATTORNEY

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am an original and joint inventor (along with inventors Subbarao Surampudi, Sekharipuram R. Narayanan, Harvey A. Frank, Gerald Halpert, George A. Olah, G.K. Surya Prakash) of the subject matter which is claimed and for which a patent is sought on the invention entitled ORGANIC FUEL-CELL METHODS AND APPARATUS, the specification of which

- is attached hereto.
- was filed on June 7, 1995 as Application Serial No. 08/478,001 and was amended on December 1, 1995 and March 26, 1996.
- was described and claimed in PCT International Application No. \_\_\_\_\_ filed on \_\_\_\_\_ and as amended under PCT Article 19 on \_\_\_\_\_.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

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Address all telephone calls to Scott C. Harris at telephone number 619/678-5070.

Address all correspondence to Scott C. Harris, Fish & Richardson P.C., 4225 Executive Square, Suite 1400, La Jolla, CA 92037.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patents issued thereon.

Full Name of Inventor: Eugene Vamos

Inventor's Signature: Eugene Vamos Date: 8/21/96  
Residence Address: 53 Josephine Avenue, Somerville MA 02144

Citizen f: USA

Post Office Address: 8722 Belladonna Drive, Riverside CA 92508

Ref. No.: 46235.P014

# ASSIGNMENT

In consideration of good and valuable consideration, the receipt of which is hereby acknowledged, We, the undersigned, Sekharipuram R. Narayanan, Eugene Vamos, Subbarao Surampudi, Gerald Halpert and Harvey Frank

Hereby sell, assign, and transfer to: California Institute of Technology a corporation of California, having a principal place of business at: 1201 East California Boulevard, Pasadena, California 91125 ("Assignee") its successors, assigns and legal representatives, our entire right, title and interest for the United States and all foreign countries, in and to any and all improvements which are disclosed in the application for United States Letters Patent,

which has been executed by the undersigned concurrently herewith,

which was filed October 11, 1993 and assigned Serial No.08/135,007

and is entitled: ORGANIC FUEL CELL METHODS AND APPARATUS

and in and to said application and all divisional, continuing, substitute, renewal, reissue, and all other applications for Letters Patent which have been or shall be filed in the United States and all foreign countries on any of said improvements; and in and to all original and reissued patents which have been or shall be issued in the United States and all foreign countries on said improvements; and in and to all rights of priority resulting from the filing of said United States application;

Agree that said Assignee may apply for and receive Letters Patent for said, improvements in its own name; and that, when requested, without charge to, but at the expense of, said Assignee, its successors, assigns and legal representatives, to carry out in good faith the intent and purpose of this Assignment, the undersigned will execute all divisional, continuing, substitute, renewal, reissue, and all other patent applications on any and all said improvements; execute all rightful oaths, assignments powers of attorney and other papers; communicate to said Assignee, its successors, assigns, and representatives, all facts known to the undersigned relating to said improvements and the history thereof; and generally do everything possible which said Assignee, its successors, assigns or representatives shall consider desirable for aiding in securing and maintaining proper patent protection for said improvements and for vesting title to said improvements and all applications for patents and all patents on said improvements, in said Assignee, its successors, assigns and legal representatives; and

REF ID: A6235.P014  
REEL 921 FRAME 84b